

**Community Economic Growth Grant Guidelines**  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

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Community Economic Growth Grants  
Kentucky Community Development Office  
Governor’s Office for Local Development

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DISCLAIMER

The Community Economic Growth Grant (CEGG) program guidelines have been assembled from House Bill 267, the programmatic policies and procedures established by the Governor’s Office for Local Development (GOLD) and the Kentucky Community Development Office (KCDO), as well as various Executive Orders. Statutory changes made by the Kentucky General Assembly after the date found on the cover page of these guidelines may affect the applicability and accuracy of the following information. Under authority granted by statute, Executive Order and GOLD, these policies and procedures are subject to case specific interpretation by the commissioner of GOLD, GOLD general counsel and/or the executive director of KCDO. Any project specific requirements will not be contrary to House Bill 267.

## I. OVERVIEW OF THE LOCAL GOVERNMENT COMMUNITY ECONOMIC GROWTH GRANTS (CEGG)

### A. Purpose of the Program

HB 267 (2005) establishes the Community Economic Growth Grant (CEGG) Program, funded from the sale of bonds. The CEGG program will provide grants to assist eligible recipients with funding for projects that will enhance economic development of their respective community. The Community Economic Growth Grant Program has been appropriated ten million dollars in program funds through the 2005-2006 biennium.

The Community Economic Growth Grant Program shall be administered by the Governor's Office for Local Development's (GOLD) Kentucky Community Development Office (KCDO).

Pursuant to HB 267, the FY 2005 - FY 2006 biennial budget of the Commonwealth, grants shall be made from this program to support nonrecurring investments in capital projects that contribute to community or industrial development in the Commonwealth. Such awards will be made by the Governor's Office for Local Development (GOLD) and the Intergovernmental Coordination Group. By Executive Order, KCDO has been established within GOLD and is responsible for administering the CEGG program with final grant award decisions reserved for the commissioner of GOLD. The commissioner of GOLD shall report annually to the Interim Joint Committee on Appropriations and Revenue regarding the activity of the CEGG program.

The *goal* of the Community Economic Growth Grant Program is to provide flexible funding to support and encourage the economic growth and viability of communities within the Commonwealth.

## II. PROGRAM ELIGIBILITY

### A. Eligible Applicants/Grantees

Grants are available through the CEGG program to any county, city, special district or school district throughout the Commonwealth. Applicants with unmet reporting or overdue financial obligations relative to other grant programs administered by GOLD will be considered ineligible for funding under CEGG. Area Development Districts in addition to GOLD/KCDO shall be responsible for determining an applicant's eligibility status for the CEGG program. GOLD/KCDO contacts for the CEGG Program are Stephanie Stumbo or Lynn Travis Littrell at 800-346-5606.

Projects may be submitted with multiple applicants; however, one applicant must clearly be identified as the lead applicant and grant funding recipient.

### B. Eligible Activities

Grant funds shall be used for capital projects that contribute to community or industrial development in the Commonwealth and enhance the economic development of the respective communities/regions. Capital projects eligible for funding include but are not limited to:

- (a) Construction, reconstruction, renovation and maintenance of buildings and other improvements to real estate and the associated architectural, engineering, legal and other expenses (may include administrative fees not to exceed 3% of the total CEGG funding award);
- (b) Acquisition of real property;
- (c) Purchase of major equipment;
- (d) Industrial site development projects, including land reclamation, clearing, grading, draining, landscaping and construction of walkways and fences;
- (e) Extension, installation, and upgrading of utilities (water, sewer, gas, and electric) for public facilities and industrial sites;
- (f) Retirement of a mortgage or other indebtedness on a capital project made within the proceeding five calendar years; and

- (g) Matching funds to be used in combination with funds obtained from other sources for an eligible capital improvement project.

Grant funds shall not be utilized for recurring expenses such as salaries, operating etc. or for projects that do not meet the specified intended use and scope as outlined in HB 267. This includes projects that cannot clearly demonstrate economic development impact indicators. Phased projects will not be funded unless the phase being requested can fully be completed and can “stand alone” as a functioning project. (*e.g.- A recreational park could be the total project and a phase would be the completion of tennis courts. Once complete, the courts would be a usable product.*)

Additional consideration will be given to those eligible projects that:

- Demonstrate a regional approach or focus;
- Show substantial measurable economic impact;
- Include commitments of additional funding sources;
- Create new jobs;
- Can be completed within a twelve month timeline;
- Target highly populated areas.

### III. CEGG GRANT PROCESS

#### A. Grant Cycle

Community Economic Growth Grants are competitive grants awarded annually.

Open enrollment for the pre-application process begins July and ends September 30, 2005. During the pre-application phase Area Development Districts and KCDO staff will review pre-applications and determine eligibility under the program requirements through use of the program eligibility assessment tool. KCDO staff will not accept any pre-applications without the respective Area Development District (ADD) board's recommendation letter. Once a project has passed through the ADD board review and has been evaluated by KCDO executive staff and has been determined “eligible or ineligible” during the pre-application phase, the applicant shall receive an official written denial or an invitation to submit a full application. During the full application phase the grant applicant will have 60 calendar days from the date on the letter of invitation to submit to GOLD/KCDO the full application and all supportive documentation. Acceptance of full applications will close on November 29<sup>th</sup>. No applications will be accepted with a postmark date after November 29<sup>th</sup>. During December 2005 through February 2006, KCDO staff will begin advanced review of all submitted applications and prepare a listing of projects with KCDO “recommendations for funding” to the Intergovernmental Coordination Group. The Intergovernmental Coordination Group (made up of 7 members; 5 members must be present for grant awards to be determined) will meet annually on or about February 15<sup>th</sup> for review and recommendations to the commissioner of GOLD. Review of recommendations and final approval will be made by the commissioner of GOLD. Grant awards will be announced in March via written award letters to the recipients and public presentations as determined by the Office of the Governor.

Subsequent to grant award announcements, the KCDO staff will prepare and release the Grant Agreement. Grant recipients will have twelve calendar months from the date on the Grant Agreement to expend all funds. One, three month extension of the contractual period may be granted following written request, justification and approval by KCDO and commissioner of GOLD.

#### B. Application Process

1. Pre-application Submission (July-September 30)-All pre-applications must be submitted to the respective region's Area Development District for consideration by the ADD board and must obtain a letter of recommendation. The respective Area Development District will then submit all pre-applications deemed eligible and shall provide a written recommendation on each proposal to GOLD/KCDO. The pre-application process allows an applicant to present an idea, a project and/or location for a project site through the initial review process and to KCDO for review and approval prior to a request for submission of a full

application. It allows KCDO to provide guidance on the development of the project application, as well as to make a final determination on the eligibility of the project prior to the submission of a complete grant application. KCDO's field, administrative and engineering staff are readily available to provide technical assistance and answer questions during all phases of project development for a CEGG full application.

Items that must be included as part of the pre-application include but are not limited to: detailed project description, statement of public benefit derived from the project, design plans and specifications (if applicable), itemized cost estimate/budget, verification of other funds and in kind match, resolution and other information and/or forms that the Governor's Office for Local Development may request.

For those awards for projects involving the development of a site, preliminary technical studies may be required and are reimbursable costs. Such study may include appraisals, soil investigations, core drillings or other engineering review. Cost estimates for professional services and a listing of anticipated technical studies must appear as part of the application along with scope of work and budget. In the event that preliminary study finds the site unsatisfactory, a second site, or other adjustment to the scope of work may be considered via an amendment to the MOA. If no satisfactory adjustment is available, eligible prior costs of the studies will be reimbursed and the project will be terminated.

Applicants must submit three copies (one original and two copies) of the pre-application and all support documentation to their respective Area Development District. Applications must be accompanied by a resolution authorizing the submission of the grant application and certifying commitments of "other" project funds. If multiple applicants partner on the same project, a lead applicant must be identified and will administer the grant funds for the intended project use. The ADD board will then be required to review pre-applications for accuracy, completeness and prepare letters of recommendation or denial. The recommendation letter along with the three copies of the pre-application will be forwarded to KCDO within the required timeframe. Any pre-applications not processed timely by the ADD and received after the required timelines will NOT be accepted. It is the applicant's sole responsibility to work with the ADD to assure deadlines can and will be met. ADD's shall provide KCDO a list of all incomplete projects they are providing assistance to and a list of all denied projects as specified within the ADD's contractual agreements with GOLD/KCDO.

2. *Full Application Submission (August-November 29)*-Upon determination of the viability to develop a proposed project, the applicant will be invited to submit a full grant application to KCDO. Applications must be accompanied by a copy of the resolution authorizing the submission of the grant application and certifying commitments of "other" project funds. If multiple applicants partner on the same project, a lead applicant must be identified and will administer the grant funds for the intended project use.

Full application shall be due to KCDO office within 60 days of the date on the letter inviting a full application. Applications received after the November 29<sup>th</sup> deadline will be returned to the applicant. KCDO will review and prepare all applications, with recommendations, for the Intergovernmental Coordination Group. During KCDO's advance review process, applications which have been accurately completed and include all documentation will be packaged by KCDO executive director for presentation to the Intergovernmental Coordination Group. These projects receiving approval of the Intergovernmental Coordination Group will be forwarded to the commissioner for final approval and notification to successful grantee.

During the full application phase applicants should clearly address and provide documentation and verifiable justification to support any claims for additional consideration.

Factors that may increase eligible projects competitiveness:

- Regional in approach;
- Show substantial measurable economic impact;
- Commitments of additional funding sources;
- Show number of new jobs created;
- Target highly populated areas;

- Project completion within 12 months.

Applicants must submit 10 complete copies of the full application to KCDO. One original with original signatures and nine copies should be submitted by the required deadline (60 days from date of invitation letter). Incomplete packages will be returned as incomplete submissions for that competitive cycle.

Funding Requirement: The applicant/recipient of CEGG funds shall certify to KCDO that they have identified and applied for all available sources of funding for the project. Further, they will provide a commitment letter(s) if the project has an investment of "other" funds.

Blank pre-application and full application forms can be obtained from, and completed grant applications should be returned to:

Kentucky Community Development Office  
Governor's Office for Local Development  
Attn: Stephanie Stumbo or Lynn Littrell  
CEGG Applications  
1024 Capital Center Drive, Suite 340  
Frankfort, Kentucky 40601

Online applications can be obtained at [www.gold.ky.gov](http://www.gold.ky.gov)

*Submission of applications should clearly be marked as CEGG Applications to assure proper handling and routing.*

3. Application Review and Award-All applications will go through a competitive grant process. Each project will be reviewed at four (4) stages or levels of review.
  - i. Initial review by local Area Development District boards of all pre-applications and the acceptance by KCDO,
  - ii. KCDO's advance technical review of all full applications, and presentation by the KCDO executive director to the Intergovernmental Coordination Group.
  - iii. Intergovernmental Coordination Group review of all applications to make recommendations for award to the commissioner of GOLD.
  - iv. Review of all recommendations and final approval/denial by the commissioner of GOLD.

Signature of the commissioner of GOLD will finalize the award process.

#### IV. Grant Awards

##### A. Funding Availability

Applications may be considered from counties, cities, special districts and school districts subject to funding availability. Applications not approved during a competitive round may re-submit in a following year. The KCDO and Intergovernmental Coordination Group may choose to award a partial funding of an application.

The CEGG program has grant funds available in the amount of ten million dollars for FY 2005 and FY 2006. Grants have no funding cap but are compared and awarded on a competitive basis.

**B. Award of CEGG Grant Projects: Factors for Consideration**

All CEGG grants are subject to final approval of the commissioner of GOLD, following the recommendation of KCDO executive director and the approval/award by the Intergovernmental Coordination Group. In order for a project to be funded, a determination must be made regarding project need, reasonability of costs and overall project effectiveness. The criteria for the approval of all project requests and awarding of funds includes information outlined in HB 267 (See Guidelines Part II, Section B) as well as additional information provided herein. Factors for consideration and determination of competitiveness will include:

- a. the number of jobs to be created or preserved, directly or indirectly, as a result of the project;
- b. payrolls and state and local taxes generated from the employment created or preserved by the development project;
- c. the size, nature and cost of the development project, including the potential of the industrial development project to provide long-term jobs in enterprises consistent with the changing economies of the affected local units of government;
- d. the needs of the local units of government that will be addressed by the development project;
- e. the economic feasibility of the project;
- f. the connectivity with, and impact on, existing public infrastructure;
- g. coordination with public water and wastewater development within the impact area;
- h. size of population to be served or impacted;
- i. compliance with all environmental and permitting requirements;
- j. degree to which stated community needs are substantiated;
- k. degree to which regional approach is addressed;
- l. necessity of CEGG funding (In the event that other funding sources will be utilized in addition to CEGG, assurance will be made that these public and/or private funding sources are in place to assure adequate funding for project completion.);
- m. commitments of additional funding sources;
- n. degree to which proposed accomplishments are substantiated;
- o. measurable economic impact.

**C. Contractual Agreements**

No funds shall be made available under CEGG until all participating parties have signed an agreement. KCDO is responsible for the preparation of all contractual agreements and the disbursement of funds. Any event of default of the Grant Agreement may result in a forfeiture of all CEGG funds remaining under that agreement. Any inappropriate utilization of CEGG funds may result in the grant recipient being responsible for the return of any disbursed funds to date. Each project will be governed by its own agreement outlining its own specific use. Terms of agreement will be determined by CEGG procedures and the nature of the individual project. The Grant Agreement may specify that all funds are made available on a reimbursement basis and require submission of adequate support documentation in order to receive funds. Grant Agreements will have specific

language as to scope of the project, disbursement of funds, reporting requirements, audit requirements, contractual period, recaptured fund requirements, procurement requirements, legal obligations etc. All grant recipients must comply with all state or federal laws governing specific types of projects, such as any permits, environmental related requirements, state prevailing wage rates etc.

The Process: Upon preparation of award letters in March, KCDO will prepare and mail Grant Agreements for execution by grant recipients. KCDO staff will enter all Grant Agreements into the state's accounting system and submit the Grant Agreement to the Legislative Research Commission (LRC) where required. Upon approval by LRC, the project is considered active and has final approval status. No advance of funds or request for disbursements can be accepted or processed by KCDO until approval by LRC is received. KCDO staff must have all fully executed documents (including the Grant Agreement) by the 15<sup>th</sup> of April in order to obtain LRC approval at the subsequent monthly meeting to be held on the second Tuesday in May. The grantee should not encumber any debt after signing the MOA until they have received a fully-executed copy from KCDO with all authorizing signatures on it.

Contractual Period: The grant recipient will have twelve (12) months to expend the grant funds. The contract period on all grants will be for a twelve (12) month period beginning with the date of the Grant Agreement.

Amendments and Extensions: The grant recipient must request all amendments to the Grant Agreement in writing. Amendments may only address moving or adjusting line item amounts, scope of work and/or term of contract. All requests for amendments must be submitted with proper justification to the KCDO executive director and the commissioner of GOLD for review. Approval of amendments to Grant Agreements will be conveyed by letter and an amendment from the commissioner of GOLD. No verbal approvals will be available. No approval of amendments will be certified or honored until proper execution and receipt of the amendment document by GOLD/KCDO. In cases in which there is sufficient reason and just cause, the grantee may submit a request to amend the grant contract period. The maximum extension available for the contract period will be three (3) months. Any un-used funds, following expiration of the contractual period, will be returned to the KCDO and the CEGG program to be utilized for other competitive grants.

Public Use: Pursuant to Kentucky Constitution Section 179, local government may only spend public funds for public use. GOLD will leave to the discretion of local government (the grantee) the determination whether or not the proposed expenditure of funds is for a public purpose. GOLD will intervene in cases where the local government is patently in error. Projects must be utilized for a public purpose for a minimum of 20 years from the completion date of the project. The grant recipient is required to execute and record a restrictive covenant incorporating the 20-year public purpose requirement. The restrictive covenant must be recorded with the County Clerk's office in the county of residence. In the event that the grant recipient is not the owner of the property, the grant recipient shall require the owner to execute and record a restrictive covenant incorporating the 20-year public purpose requirement as a condition of the initial execution of the grant agreement.

#### D. Encumbrances of Grant Funds

Grant proceeds may be used for eligible activities only. Grantees (or any administering agency) cannot assign, mortgage, encumber, nor convey any portion of grant proceeds to any person or entity without the written consent of the KCDO executive director and the commissioner of GOLD through an executed contract amendment.

#### E. Procurement

Procurement of goods and services must comply with all local procurement guidelines, which reflect applicable provisions of KRS 45A or Chapter 424. It is suggested that grant recipients contact their local attorney for advice.



**F. Disbursement of Funds**

To receive funds, the eligible recipient must complete a Request for Disbursement form accompanied by (when appropriate) estimates, receipts, and/or invoices. Requests for Disbursements may be submitted as needed and as costs are encumbered. After the request form is received and approved by KCDO, a check will be forwarded to the grant recipient. The Project Manager/Administrator and KCDO executive director must approve all disbursement requests. Depending on the nature of the disbursement, the staff engineer's approval may also be required. Recipients/grantees should allow four weeks between the submission of a disbursement request and receipt of a check.

The grant recipient may request an initial advancement of funds up to but not to exceed \$50,000. Upon submission of the initial request for disbursement the recipient/grantee must provide support documentation showing justification for the amount of requested funds to be advanced. In the event the request for advancement of funds is approved by KCDO the recipient/grantee must subsequently report all expenditures of funds and provide copies of all receipts, invoices etc. to account for said expenditures. No additional funds shall be released until the advanced amount has been properly expended and documented.

No disbursement of funds for projects will be made without receipt by KCDO of the Request for Disbursement form and its required support attachments (invoices, estimates and receipts). If the recipient fails to comply with these guidelines or any requirement of the Grant Agreement, Requests for Disbursement will be held and no disbursement of funds will be made until compliance has been determined by KCDO. In addition, if the recipient is not current on reporting requirements, all Requests for Disbursement will be held until compliance has been determined by KCDO.

**G. Recapture of Grant Funds**

Grant recipients are encouraged to develop projects where a repayment of funds will occur. For example, if funds are used to develop a building or industrial park, land within the park or the facility constructed should be sold or leased (rather than given) to industrial firms. This will assist with the continuation of available "revolving" funds for reinvestment in the CEGG program.

When grant proceeds or income are earned from a CEGG project, the grant recipient is required to maintain and account for all these funds in a "project proceeds account," a separate, interest bearing account established by the grant recipient. Annually, with each 4<sup>th</sup> quarterly report (April 30), grant recipients having recaptured funds must complete and return the Project Proceeds Report Form with the total receipts in their project proceeds account. No expenditure may be made from these accounts.

In cases where property and/or facilities are leased, the agreement between the "grantee" and their respective "lessee" shall reflect language assuring the lease payments are paid directly to GOLD. KCDO will redeposit all recaptured funds into the CEGG program fund.

**V. PROJECT REPORTING / MONITORING REQUIREMENTS**

**A. Project Reporting Requirements**

Upon execution of the Grant Agreement the grant recipient shall be required to provide quarterly progress reports. Quarterly reports shall be due the 30<sup>th</sup> day following the end of a quarter.

First Quarter: April-June is due on July 30<sup>th</sup>

Second Quarter: July-September is due on October 30<sup>th</sup>

Third Quarter: October –December is due on January 30<sup>th</sup>

Fourth Quarter: January –March is due on April 30<sup>th</sup>

This schedule applies throughout the period of the project. Failure to comply with reporting will delay payment on disbursement requests. This includes incomplete reports, failure to submit support documentation and invoices, plans, failure to submit the quarterly report, etc. Grant recipients shall complete the Quarterly Report form for each project awarded. Each section of the form must be completely filled out with any related support documentation relevant to the project and any pending documentation related to a request for disbursement, such as all expenditures of funds for that quarter (i.e. receipt and invoices). Failure to submit or fully complete the required report will also place the grant recipient in noncompliance status at which time KCDO staff will assist to complete necessary corrections and/or submissions within a reasonable timeframe.

A close out report is required upon completion of each project. Each section of the form must be completely filled out with any related support documentation and with any required pending documentation. Final disbursement of funds may be held to assure compliance and receipt of the required reporting. Upon receipt of the completion report KCDO staff will conduct a final site visit on projects over \$100,000. KCDO reserves the right to request a close out site visit on all CEGG grants regardless of funding amount prior to the official close out of the project.

Upon receipt of the close out report and/or final draw on a project, KCDO will send a letter to the recipient for signature authorizing KCDO to close out the financial aspect of the project and confirming that all items are complete and the project is finished. Monitoring questions may be directed to the executive director of KCDO in writing. Grant recipients can expect to receive letters of inquiry from KCDO staff or legal counsel from time to time. The monitoring process involves an annual review of factors listed below, as applicable: (may *include but not be limited to*)

- jobs requirement;
- audit requirement;
- recaptured funding;
- contractual requirements and compliance as determined by the Grant Agreement;
- minimum wage and benefit levels (as applicable);
- guideline compliance;
- financial reporting and documentation.

This process closes the financial aspect of KCDO projects. The terms of the executed Grant Agreement for a particular project may set forth other obligations for that project and describe any continued activity with KCDO.

## **B. Program Monitoring**

KCDO shall maintain a project file on all grant projects. KCDO staff will provide monitoring of activities relative to the scopes of work and the Grant Agreements, project accounting, cost estimates, line item budgets, change orders, all legal documentation, progress reports and compliance with all reporting requirements and disbursement requests. KCDO reserves the right to request any and all related documentation relative to the completion of the project for review and recording in the file at any time during the project and upon completion before close out. KCDO will complete site monitoring on all projects awarded over \$100,000 during the course of the project and prior to project close out to assure compliance with the specified scope. KCDO reserves the right to make site visits on any and all projects regardless of award amount if deemed necessary.

## **C. Audit Requirements**

All CEGG grants are subject to an annual audit conducted in accordance with generally accepted auditing standards, Government Auditing Standards, issued by the Comptroller General of the United States, the provisions of Office of Management and Budget Circular A-133, "Audits of State and Local Governments," if applicable, and the Audit Guide for Fiscal Court Audits issued by the Kentucky Auditor of Public Accounts. The audit report shall include a certification that the funds were expended for the purpose intended. A copy of the audit and certification of compliance shall be forwarded to GOLD no later than 12 months after the end of each fiscal year in which CEGG funds were received by the eligible grant recipient (county, city, special district or school district).

VI. KCDO Staff Contact Information

Stephanie Stumbo,  
Executive Director  
[stephanie.stumbo@ky.gov](mailto:stephanie.stumbo@ky.gov)  
502-573-2382 Phone  
800-346-5606 Phone  
502-573-0175 Fax

Lynn Travis Littrell  
Staff Assistant  
[lynn.littrell@ky.gov](mailto:lynn.littrell@ky.gov)  
502-573-2382 Phone  
800-346-5606 Phone  
502-573-0175 Fax



Addendum A  
Revised August 1, 2005

## Pre-Application Kentucky Community Development Office Governor's Office for Local Development

Project	Project Title: _____
	CEGG Amount Requested: \$_____ Total Project Amount: \$_____
	Type of Capital Grant Project (please check all that apply):
	<input type="checkbox"/> Industrial Site Development <input type="checkbox"/> Land Acquisition <input type="checkbox"/> Debt Retirement <input type="checkbox"/> New Facility Construction <input type="checkbox"/> Facility Renovation <input type="checkbox"/> Public Infrastructure <input type="checkbox"/> Major Equipment Purchase <input type="checkbox"/> Matching Funds <input type="checkbox"/> Other _____

Grantee	Legal Grantee: _____
	Street Address: _____
	City, State, Zip Code: _____ Office Phone: _____
	Official's Name: _____ County: _____

Co-Applicants	Co-Applicants (if applicable): _____
	Street Address: _____
	City, State, Zip Code: _____ Office Phone: _____
	Contact Person: _____

Legal Counsel	Legal Counsel: _____
	Street Address: _____
	City, State, Zip Code: _____ Office Phone: _____
	Contact Person: _____

Project Contact

Agency: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Project Contact Person: \_\_\_\_\_

Area Development District: \_\_\_\_\_

Designated ADD-CEGG Contact Person: \_\_\_\_\_

Detailed Project Description

Provide a detailed narrative description of project with **ALL** relevant project information, including but not limited to, project location, elements to be constructed, size of facilities, utility providers, capacity, number of jobs to be created, county impact, any preliminary studies (engineering, environmental), plans and design documents, etc. In addition, applicants **MUST** provide a statement with supportive documentation showing public benefit to be derived from the project. (REQUIRED):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Please provide the estimated start and completion dates for project.

Start Date \_\_\_\_\_ Completion Date \_\_\_\_\_

Financing	Include all funding amounts and sources.						
	Source	Amount	Project %	Type	Rate	Term	Status
TOTAL # _____							

Checklist	Make sure to attach all relevant information and documentation and mail three complete copies to the respective region's Area Development District.
	<input type="checkbox"/> Attachment A-Line Item Cost Estimate
	<input type="checkbox"/> Attach a copy of ALL funding commitment letters received to date. If funds are shown as cash, please provide proof of availability.
	<input type="checkbox"/> Attach a copy of the resolution(s) authorizing the project submission.
	<input type="checkbox"/> Attach a copy of the ADD letter of recommendation or denial.

Disclaimer: Depending on type of proposed project, the Kentucky Community Development Office and GOLD reserve the right to request additional information and documentation specific to the nature, structure, and proposed utilization of the funds.

## Attachment A: Line-Item Budget Breakdown

Please provide a detailed line-item cost estimate for all expenses related to the project.

Line Item

Amount

## Line-item Cost Estimate





**Full Application-Grantee**  
Kentucky Community Development Office  
Governor's Office for Local Development

**Project**

Project Title: \_\_\_\_\_

CEGG Amount Requested: \$\_\_\_\_\_ Total Project Amount: \$\_\_\_\_\_

Type of Capital Grant Project (please check all that apply):

☐ Industrial Site Development ☐ Land Acquisition ☐ Debt Retirement ☐ New Facility Construction

☐ Facility Renovation ☐ Public Infrastructure ☐ Major Equipment Purchase ☐ Matching Funds

☐ Other \_\_\_\_\_

**Grantee**

Legal Grantee: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Official's Name: \_\_\_\_\_ County: \_\_\_\_\_

Grantee is (check one):

☐ County

☐ City

☐ Special District

**Legislative Support**

Legislator (Name): \_\_\_\_\_

Legislator (Name): \_\_\_\_\_

Legislator (Name): \_\_\_\_\_

☐ Letter(s) of support are attached.

☐ Legislators have been made fully aware of the project and application submission.

Co-Applicant

Co-Applicants (if applicable): \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Co-Applicant is (check one):

☐ County

☐ City

☐ Special District

Legal Counsel

Legal Counsel: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Project Contact

Agency: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Project Contact Person: \_\_\_\_\_

Designated ADD-CEGG Contact Person: \_\_\_\_\_

### Detailed Project Description

Provide a detailed narrative description of project with ALL relevant project information, including but not limited to, project location, elements to be constructed, size of facilities, utility providers, capacity, number of jobs to be created, county impact, any preliminary studies (engineering, environmental), plans and design documents, etc. In addition, applicants **MUST** provide a statement with supportive documentation showing public benefit to be derived from the project. (REQUIRED):

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and extend across the width of the page. There are no margins, text, or other markings on the paper.

Estimated start and completion dates for project **MUST** be provided. All projects **MUST** be able to be completed within a 12-month period.

Start Date \_\_\_\_\_ Completion Date \_\_\_\_\_

Equity

Does this project use any source of equity? (circle one)    yes        no

If yes, please specify below and attach any personal/financial statements as appropriate and other pertinent documentation to verify availability of personal cash or other funds.

If no, continue to next section.

☐ Public Source

☐ Private Source

☐ Other Grant Fund Source \_\_\_\_\_

☐ State

☐ Federal

☐ Other \_\_\_\_\_

All Project Funding

Please provide the following on all “other” project funds:

Source	Amount	Project %	Type	Status
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL # _____	_____	_____	_____	_____

Loan/Lease

Please list all loan/lease agreements for this project.

Source	Amount	Project %	Type	Rate	Term	Status
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

Loan/Lease	Source	Amount	Project %	Type	Rate	Term	Status
TOTAL #							

Please list any collateral necessary for this project.

Collateral	Funding Source	\$ Exposure	Asset L/B/E	Position	Other

Personal Guarantee \$ Corporate Guarantee \$

New Site Information (complete this section if the project constitutes a new location for the participating party):

Project Site: acres Building Size: square feet

Check one: ☐ New Construction

☐ Acquisition of an existing building

Age: Appraised Value:

How long has building been unoccupied?

**Expansion Project Information** (complete this section only if the project involves the expansion of an existing Kentucky facility):

Expansion of new existing facility? (circle one)    yes    no

Size of expansion: \_\_\_\_\_

Additions or renovations to existing building? (circle one)    yes    no

Explain: \_\_\_\_\_

\_\_\_\_\_

Present Acreage: \_\_\_\_\_ acres    New Acreage: \_\_\_\_\_ acres

Present Building Size: \_\_\_\_\_ sq. ft.    New Building Size: \_\_\_\_\_ sq. ft.

**Loan/Lease Information** (for all to complete):

Do you own the site? (circle one)    yes    no

Date of Purchase: \_\_\_\_\_    Purchase Price: \$ \_\_\_\_\_

Is there a mortgage? (circle one)    yes    no

Mortgage Holder: \_\_\_\_\_    Current Balance: \$ \_\_\_\_\_

Mortgage Payment: \$ \_\_\_\_\_    Length of Agreement: \_\_\_\_\_

If you lease, who is the property owner?

Property Owner \_\_\_\_\_    Lease Payment: \$ \_\_\_\_\_

Length of Agreement: \_\_\_\_\_

**Site Acquisition** (for all to complete):

Is this project requesting assistance for site acquisition? (circle one)    yes    no

If yes, please provide information below.    If no, continue to next section.

Project Site Information (cont.)

Total Acreage \_\_\_\_\_ Purchase Price \$ \_\_\_\_\_

Current Ownership \_\_\_\_\_

Proposed Ownership \_\_\_\_\_

Is there an option or contract? (circle one)      yes      no

If yes, check one below and attach any documentation.

☐ option

☐ contract

---

## Project Cost Summary

Complete this form for acquisition and construction projects.

		<b>Project Activity</b>	<b>Amount</b>				
<b>Estimated Project Costs</b>		Land Acreage _____					
		Building Sq. Ft. _____					
		Improvement (existing buildings)					
		Equipment					
		Building Fixtures					
		Other _____					
		<b>Subtotal (Fixed Assets Costs)</b>					
		Working Capital					
		<b>TOTAL</b>					
		<b>Type of Financing</b>	<b>Amount</b>	<b>Percent of Financing</b>	<b>Interest Rate</b>	<b>Payback Period</b>	<b>Project Annual Debt Service</b>
<b>Proposed Project Financing</b>	<b>Fixed Assets</b>	CEGG					
		Bank					
		Other _____					
		Other _____					
		Equity					
		<b>Subtotal (Fixed Assets)</b>					
	<b>Working Capital</b>	Bank					
		Equity					
		Other _____					
		<b>Subtotal (Working Capital)</b>					
	<b>TOTAL FINANCING</b>						



Project Cost Summary					
Budget Information – Non-Construction Projects					
Section A-Budget Summary					
Source of Funding (List)	Amount		Total Project Costs		
	Federal	Non-Federal			
1					
2					
3					
4					
5					
6. TOTALS					

[illegible]

Project Cost Summary				
Budget Information - Construction Projects				
Section A-Budget Summary				
Source of Funds (List)	Amount		Total Project Costs	
	Federal	Non-Federal		
1				
2				
3				
4				
5				
6. TOTALS				

Budget Information –Construction Projects			
Cost Classification	a. CEGG	b. Other Sources	c. Total Costs
1. Administrative and legal expenses (Note: Maximum Administrative is 3%)			
2. Land, structures, rights-of-way, appraisals, etc.			
3. Relocation expenses and payments			
4. Architectural and engineering fees			
5. Other architectural and engineering fees			
6. Project inspection fees			
7. Site work (attach cost estimate for any clearing, grading, drainage, etc.)			
8. Demolition and removal			
9. Construction (Please attach engineering cost estimate and detailed breakdown of costs)			
10. Equipment (provide itemized list and cost breakout)			
11. Miscellaneous/other			
12. Contingencies			
14. SUBTOTAL (Sum of lines 1 through 12)			
15. Project (program) income			
16. TOTAL PROJECT COST (subtract line 15 from line 14)			

Factors for Competitiveness

Please clearly justify project and substantiate support in each of the following applicable areas (insert narrative):

1. Regional Approach/Project Justification

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2. Employment Impact

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3. Area to be served and population

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4. Economic Impact (Creation of Wealth)

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5. Need (substantiated)

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6. Show any coordination with new public water, wastewater or other infrastructure development and impact on existing infrastructure.

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Factors for Competitiveness	7. Degree to which proposed accomplishments are substantiated.
	8. Leverage of "other" project funding invested in the project.
	9. Degree to which the completed project would eliminate need.
	10. Long-term impact and sustainability.

Employment Projections	Employment Projections (if applicable)			
	Please provide employment projections for project. *If part time employment is being created, please also indicate full time equivalents and an explanation of the formula used to determine full time equivalents. Without this information part time jobs will not be used in the calculation of jobs.			
		Full Time	Part Time	*Full Time Equivalents of Part Time Jobs
	Current number of jobs at project location			
	New jobs to be created			
	TOTAL number of jobs projected 2 years after completion			
	Number of jobs retained because of project			

Employment Projections

Explanation of formula used to determine full time equivalents of part time jobs: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Job Categories

Please state number of jobs to be created in each category below as well as accompanying information.

Job Category	Number of Jobs	Average Hourly Wage	Average Annual Wage	Estimated CEGG Training*	Estimated Value of Other Training**	Estimated Value of Fringe Benefits***
Skilled	_____	_____	_____	_____	_____	_____
Semi-Skilled	_____	_____	_____	_____	_____	_____
Unskilled	_____	_____	_____	_____	_____	_____
Managerial	_____	_____	_____	_____	_____	_____
Technical	_____	_____	_____	_____	_____	_____
Other	_____	_____	_____	_____	_____	_____
Total Benefits				_____	_____	_____

\* Estimated CEGG Training- For project proposals involving Job Training Grants, calculations should be based on the average hourly wage minus current Federal Minimum Wage.

\*\* Estimated Value of Other Training-other training benefits including BSSC, Welfare to Work and other related workforce training programs.

\*\*\* Estimated Value of Fringe Benefits-Attach a description of the fringe benefit package to be provided.

## Certification of Application

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**Please note:** Eligibility for financial assistance is determined by the information presented in this application and in the required attachments. Any changes in the status of the proposed project from the facts presented herein could disqualify the project, including but not limited to, the commencement of construction. Please contact Kentucky Community Development Office (KCDO) before taking any action that would change the status of the project as reported herein.

**Certification:** I hereby represent and certify that the foregoing information, to the best of my knowledge, is (a) true, complete and accurately and fairly describes the proposed project for which financial assistance is sought; and (b) does not contain any information for which an entity competing with the applicant may claim a proprietary interest. I further certify that to the best of my knowledge and based upon due inquiry, neither I, nor any of the proposed guarantors or officers, directors or principals associated with the applicant are or were at the time of this application, directors or officers of, or otherwise have a fiduciary duty toward, an entity that is or may be in competition with the applicant. As used herein, applicant shall include any person or entity that is guaranteeing any proposed loan.

The undersigned, on behalf of the applicant, acknowledges that even though the information contained in this application, or which may hereafter be communicated to the KCDO, contains confidential and proprietary information, it may be subject to public disclosure to the extent required by law pursuant to any request made pursuant to the Kentucky Open Records Act, Chapter 61 of the Kentucky Revised Statutes. In addition, the applicant acknowledges and agrees this application will be released to the local jurisdiction(s) where the project is intended to be located. Notwithstanding the above, except as otherwise agreed to by the applicant in writing, no confidential or proprietary information shall be disclosed if properly excluded from disclosure under KRS 61.878 (as determined by the Authority, the Kentucky Attorney General, or Court of Competent Jurisdiction).

Approval of applications and the award of grants by KCDO shall be based upon the following list of criteria. The undersigned, on behalf of the applicant, acknowledges that these criteria were utilized in the planning of the project:

- The size, nature and cost of the development project, including the potential of the industrial development project to provide long-term jobs in enterprises consistent with the changing economies of the affected local units of government;
- The needs of the local units of government that will be addressed by the development project;
- The economic feasibility of the project;
- The connectivity with and impact on existing public infrastructure;
- Coordination with public water and wastewater development within the impact area;
- Population to be served or impacted, target highly populated areas;
- Compliance with all environmental and permitting requirements;
- Degree to which stated community needs are substantiated;
- Necessity of CEGG funding (in the event that other funding sources will be utilized in addition to CEGG, assurance will be made that these public and/or private funding sources are in place to assure adequate funding for project completion);
- Commitments of additional funding sources;

- Degree to which proposed accomplishments are substantiated;
- Regional in approach;
- Show substantial measurable economic impact.

Official, please sign below:

Signature\_\_\_\_\_

Title\_\_\_\_\_

Printed Name\_\_\_\_\_

Date\_\_\_\_\_

Signature\_\_\_\_\_

Title\_\_\_\_\_

Printed Name\_\_\_\_\_

Date\_\_\_\_\_

Please submit full applications directly to: Kentucky Community Development Office  
Governor's Office for Local Development  
Attn: Lynn Littrell or Stephanie Stumbo  
1024 Capital Center Drive, Suite 340  
Frankfort, KY 40601

Kentucky Community Development Office ▪ Governor's Office for Local Development  
1024 Capital Center Drive, Suite 340 ▪ Frankfort, KY 40601  
Phone: 502-573-2382 ▪ Toll Free: 800-346-5606 ▪ Fax: 502-573-0175 ▪ [www.gold.ky.gov](http://www.gold.ky.gov)







**Addendum C**  
**Revised August 1, 2005**

**Area Development District Contact Information**  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

**Purchase ADD**

Henry G. Hodges, Executive Director  
1002 Medical Drive  
Mayfield, KY 42066  
(270) 247-7171  
(270) 251-6110 (Fax)  
[henry.hodges@mail.state.ky.us](mailto:henry.hodges@mail.state.ky.us)  
[www.purchaseadd.org](http://www.purchaseadd.org)

Counties Served: Ballard, Carlisle, Hickman, Fulton, McCracken, Graves, Marshall, and Calloway

**Green River ADD**

Jiten Shah, Executive Director  
3860 U.S. Highway 60  
Owensboro, KY 42301-0200  
(270) 926-4433  
(270) 684-0714 (Fax)  
[jitenshah@gradd.com](mailto:jitenshah@gradd.com)  
[www.gradd.com](http://www.gradd.com)

Counties Served: Union, Henderson, Webster, McLean, Daviess, Ohio, and Hancock.

**Lincoln Trail ADD**

Wendell C. Lawrence, Executive Director  
613 College Street Road  
P.O. Box 604  
Elizabethtown, KY 42702-0604  
(270) 769-2393  
(270) 769-2993 (Fax)  
[wendell@ltadd.org](mailto:wendell@ltadd.org)  
[www.ltadd.org](http://www.ltadd.org)

Counties Served: Breckinridge, Meade, Grayson, Hardin, Larue, Nelson, Washington, and Marion.

**Pennyrile ADD**

Dan Bozarth, Executive Director  
300 Hammond Drive  
Hopkinsville, KY 42240  
(270) 886-9484  
(270) 886-3211 (Fax)  
[dan.bozarth@mail.state.ky.us](mailto:dan.bozarth@mail.state.ky.us)  
[www.peadd.org](http://www.peadd.org)

Counties Served: Livingston, Crittenden, Lyon, Caldwell, Hopkins, Muhlenberg, Trigg, Christian, and Todd.

**Barren River ADD**

Dot Darby-Paschall, Executive Director  
177 Graham Avenue  
P.O. Box 90005  
Bowling Green, KY 42102-9005  
(270) 781-2381  
(270) 842-0768 (Fax)  
[ddarby@bradd.org](mailto:ddarby@bradd.org)  
[www.bradd.org](http://www.bradd.org)

Counties Served: Logan, Simpson, Butler, Warren, Edmonson, Hart, Barren, Allen, Metcalfe, and Monroe.

**KIPDA ADD**

Jack L. Scriber, Executive Director  
11520 Commonwealth Drive  
Louisville, KY 40299  
(502) 266-6084  
(502) 266-5047 (Fax)  
[jack.scriber@mail.state.ky.us](mailto:jack.scriber@mail.state.ky.us)  
[www.kipda.org](http://www.kipda.org)

Counties Served: Bullitt, Henry, Jefferson, Oldham, Shelby, Spencer, and Trimble. Clark and Floyd in Indiana.

**Northern Kentucky ADD**

John Mays, Executive Director  
22 Spiral Drive  
Florence, KY 41042  
(859) 283-1885  
(859) 283-8178 (Fax)  
(859) 283-8177 (Confidential Fax)  
[nkadd.org](mailto:nkadd.org)  
[www.nkadd.org](http://www.nkadd.org)

Counties Served: Boone, Kenton, Campbell, Carroll, Gallatin, Owen, Grant, and Pendleton.

**Bluegrass ADD**

Jas S. Sekhon, Executive Director  
699 Perimeter Drive  
Lexington, KY 40517  
(859) 269-8021  
(859) 269-7917 (Fax)  
[isekhon@bglife.com](mailto:isekhon@bglife.com)  
[www.bgadd.org](http://www.bgadd.org)

Counties Served: Anderson, Franklin, Woodford, Mercer, Boyle, Lincoln, Garrard, Jessamine, Fayette, Scott, Harrison, Bourbon, Nicholas, Clark, Madison, Powell, and Estill.

**Lake Cumberland ADD**

Stuart Carman, Executive Director  
P.O. Box 1570  
Russell Springs, KY 42642  
(270) 866-4200  
(270) 866-2044 (Fax)  
[stuart.carman@mail.state.ky.us](mailto:stuart.carman@mail.state.ky.us)  
[www.lcadd.org](http://www.lcadd.org)

Counties Served: Taylor, Adair, Green, Casey, Russell, Pulaski, Clinton, Cumberland, Wayne, and McCreary.

**Buffalo Trace ADD**

Stephen H. Miller, Executive Director  
201 Government Street, Suite 300  
P.O. Box 460  
Maysville, KY 41056  
(606) 564-6894  
(606) 564-0955 (Fax)  
[steve.miller@mail.state.ky.us](mailto:steve.miller@mail.state.ky.us)  
[www.btadd.com](http://www.btadd.com)

Counties Served: Bracken, Mason, Robertson, Fleming, and Lewis.

**Gateway ADD**

Gail K. Wright, Executive Director  
19 East Main Street  
P.O. Box 1070  
Owingsville, KY 40360  
(606) 674-6355  
(606) 674-6658 (Fax)  
[gailk.wright@mail.state.ky.us](mailto:gailk.wright@mail.state.ky.us)  
[www.gatewayadd.org](http://www.gatewayadd.org)

Counties Served: Rowan, Bath, Montgomery, Menifee, and Morgan.

**FIVCO ADD**

Sherry R. McDavid, Executive Director  
300 Louisa Street  
P.O. Box 636  
Catlettsburg, KY 41129  
(606) 739-5191  
(606) 739-5191 ext. 208 (Fax)  
[sherry@fivco.org](mailto:sherry@fivco.org)  
[www.fivco.org](http://www.fivco.org)

Counties Served: Greenup, Boyd, Carter, Elliott, and Lawrence.

**Big Sandy ADD**

Sandy Runyon, Executive Director  
100 Resource Drive  
Prestonsburg, KY 41653  
(606) 886-2374  
(606) 886-3382 ext. 208 (Fax)  
[sandyr@bigsandy.adds.state.ky.us](mailto:sandyr@bigsandy.adds.state.ky.us)  
[www.bigsandy.org](http://www.bigsandy.org)

Counties Served: Johnson, Magoffin, Martin, Floyd, and Pike.

**Kentucky River ADD**

Paul E. Hall, Executive Director  
917 Perry County Park Road  
Hazard, KY 41701  
(606) 436-3158  
(606) 436-2144 (Fax)  
[KyRiver.ADD@mail.state.ky.us](mailto:KyRiver.ADD@mail.state.ky.us)  
[www.kradd.org](http://www.kradd.org)

Counties Served: Wolfe, Owsley, Lee, Breathitt, Leslie, Perry, Knott, and Letcher.

**Cumberland Valley ADD**

John L. Bruner II, Executive Director  
P.O. Box 1740  
342 Old Whitley Road  
London, KY 40743-1740  
(606) 864-7391  
(606) 878-7361 (Fax)  
[jbruner@cvadd.org](mailto:jbruner@cvadd.org)  
[www.cvadd.org](http://www.cvadd.org)

Counties Served: Jackson, Rockcastle, Laurel, Clay, Knox, Whitley, Bell, and Harlan.

Kentucky Community Development Office ▪ Governor's Office for Local Development  
1024 Capital Center Drive, Suite 340 ▪ Frankfort, KY 40601  
Phone: 502-573-2382 ▪ Toll Free: 800-346-5606 ▪ Fax: 502-573-0175 ▪ [www.gold.ky.gov](http://www.gold.ky.gov)





Addendum D  
Revised August 1, 2005

Sample Resolution  
Kentucky Community Development Office  
Governor's Office for Local Development

AUTHORIZING DOCUMENT EXECUTION

RESOLUTION OF THE  
(LEGISLATIVE BODY)

ADOPTION OF A RESOLUTION OF THE \_\_\_\_\_ (LEGISLATIVE BODY) AUTHORIZING THE FILING OF A COMMUNITY ECONOMIC GROWTH GRANT ("CEGG") PROJECT PROPOSAL/GRANT APPLICATION FOR AN AMOUNT UP TO \$\_\_\_\_\_ TO THE GOVERNOR'S OFFICE FOR LOCAL DEVELOPMENT'S (GOLD) KENTUCKY COMMUNITY DEVELOPMENT OFFICE (KCDO) FOR \_\_\_\_\_ PROJECT; AUTHORIZING AND DIRECTING THE \_\_\_\_\_ (EXECUTIVE AUTHORITY) TO EXECUTE ANY DOCUMENTS WHICH ARE DEEMED NECESSARY BY GOLD TO CARRY OUT THIS PROJECT INCLUDING GRANT AGREEMENT EXECUTION; AND AUTHORIZING THE \_\_\_\_\_ (EXECUTIVE AUTHORITY) TO ACT AS THE AUTHORIZED CORRESPONDENT FOR THIS PROJECT.

WHEREAS, \_\_\_\_\_ (LOCAL GOVERNMENT) desires to promote and carry out economic development efforts on behalf of its residents through execution of the \_\_\_\_\_ Project.

NOW, THEREFORE, be it resolved this \_\_\_\_ day of \_\_\_\_\_, 200\_\_, by \_\_\_\_\_ (LEGISLATIVE BODY):

That a Project Proposal/Grant Application on behalf of the (LOCAL GOVERNMENT) for CEGG funding up to \$\_\_\_\_\_ for \_\_\_\_\_ Project shall be submitted to KCDO. The (LOCAL GOVERNMENT) authorizes the (EXECUTIVE AUTHORITY) to provide all information and such documentation as may be required by GOLD, including, but not limited to, the execution of a Memorandum of Agreement for the project, should the project be awarded. The (EXECUTIVE AUTHORITY) or the (EXECUTIVE AUTHORITY'S) designee shall act as the authorized correspondent for this Project.

Done this \_\_\_\_ day of \_\_\_\_\_, 200\_\_. Motion by \_\_\_\_\_ and seconded by \_\_\_\_\_, members present voting unanimously in favor.

By: \_\_\_\_\_  
(EXECUTIVE AUTHORITY)  
(TITLE)

ATTEST:

By: \_\_\_\_\_

Kentucky Community Development Office • Governor's Office for Local Development  
1024 Capital Center Drive, Suite 340 • Frankfort, KY 40601  
Phone: 502-573-2382 • Toll Free: 800-346-5606 • Fax: 502-573-0175 • www.gold.ky.gov





Addendum E  
Revised August 1, 2005

**Request for Disbursement Form**  
**Local Government Projects**  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

Please check one of the following:

- ☐ Local Government Economic Development Fund (LGEDF)-Line-item      ☐ LGEDF-Grant
- ☐ Community Economic Growth Grant (CEGG)

Legal Grantee: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Date of Request: \_\_\_\_\_

Amount Requested: \_\_\_\_\_ Federal Tax Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

**A. Status of Funding:**

- |    |                                  |  |
|----|----------------------------------|--|
| 1. | Original Total Award Amount:     |  |
| 2. | Funding Disbursements to Date:   |  |
| 3. | Amount of Grant Being Requested: |  |
| 4. | New Account Balance:             |  |

**B. Summary of Payees of Amount Requested:**

- |    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |
| 6. |  |  |

Total Amount of Funding Request: \_\_\_\_\_

C. Certification: \_\_\_\_\_ "Recipient" hereby makes this request to the Kentucky Community Development Office ("KCDO") for a disbursement of funding made by KCDO to the Recipient. The Recipient hereby represents, warrants and certifies to KCDO that (i) this request is made in accordance with the terms and conditions of that certain grant agreement as represented in the executed memorandum of agreement and any subsequent amendments thereto (the "Memorandum of Agreement"), (ii) the Person executing this instrument on behalf of Recipient is duly authorized to execute and deliver this request, (iii) Recipient requires the amount requested to meet its current payment obligations in connection with the Project as described in the Memorandum of Agreement, (iv) each of the representations, warranties and covenants of Recipient in the Memorandum of Agreement is true and correct on the date hereof, including but not limited to compliance with KRS 154.50-336, (v) no Event of Default under the Memorandum of Agreement has occurred and is continuing, (vi) all work performed by any contractors and subcontractors has been completed in a good and workmanlike manner and in accordance with all applicable contracts, (vii) all work performed by any contractors and subcontractors has been inspected and approved by Recipient prior to the date hereof, and (viii) no contractors or subcontractors have filed liens or have threatened to file liens of any type with respect to the Project. Please note that item (viii) is applicable to grants only. Unless otherwise defined herein, all capitalized terms shall have the meanings ascribed thereto in the Memorandum of Agreement.

Recipient has attached to this request all supporting documentation (cost estimates, invoices and/or receipts, etc.) deemed necessary by KCDO, in its sole discretion, for the amount of the disbursement requested.

RECIPIENT ACKNOWLEDGES THAT THE REPRESENTATIONS AND WARRANTIES SET FORTH HEREIN AND IN THE MEMORANDUM OF AGREEMENT ARE MATERIAL INDUCEMENTS UPON WHICH KCDO WILL RELY IN MAKING THE DISBURSEMENT OF GRANT PROCEEDS REQUESTED HEREIN. RECIPIENT ACKNOWLEDGES THAT BUT FOR THE TRUTH OF THE REPRESENTATIONS AND WARRANTIES MADE HEREIN AND IN THE MEMORANDUM OF AGREEMENT, KCDO WOULD NOT MAKE THE DISBURSEMENT OF THE GRANT PROCEEDS REQUESTED HEREIN. RECIPIENT ACKNOWLEDGES AND AGREES THAT KCDO IS REASONABLY ENTITLED TO RELY UPON THE REPRESENTATIONS AND WARRANTIES SET FORTH HEREIN AND IN THE MEMORANDUM OF AGREEMENT.

IN WITNESS WHEREOF, Recipient, by its duly authorized representative, has executed this Request for Disbursement as of the date written above.

By: \_\_\_\_\_  
Authorized Recipient Signature

#### FOR KCDO USE ONLY

Award Amount: \$ \_\_\_\_\_

Account Number: \_\_\_\_\_

Disbursements To Date: \$ \_\_\_\_\_

Approved By: \_\_\_\_\_

Amount of Request: \$ \_\_\_\_\_

Approved By: \_\_\_\_\_

New Account Balance: \$ \_\_\_\_\_

Approval Date: \_\_\_\_\_

Comments:

Kentucky Community Development Office • Governor's Office for Local Development  
1024 Capital Center Drive, Suite 340 • Frankfort, KY 40601  
Phone: 502-573-2382 • Toll Free: 800-346-5606 • Fax: 502-573-0175 • [www.gold.ky.gov](http://www.gold.ky.gov)





Addendum F  
Revised August 1,

**Project Proceeds Report**  
(For Stream of Payments and Lump Sum Receipts)  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

This report is required of all CEGG Recipients that receive or may receive any project proceeds.

Grantee Information

Grantee: \_\_\_\_\_

Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

Email Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Report for Year Ending \_\_\_\_\_

Certification

The Grantee's Authorized Representative certifies that:

- A.) To the best of his/her knowledge and belief, the information in this report is true and correct as of the date of the report.
- B.) All supporting documentation has been attached hereto.
- C.) No event of default has occurred or is continuing under the terms and conditions set forth in the Grant Agreement for this project.
- D.) All representations and warranties made by the Grantee in the Grant Agreement for this project are true and correct as of this date.

Typed Name of Grantee's Authorized Representative: \_\_\_\_\_

Title: \_\_\_\_\_

Signature of Grantee's Authorized Representative: \_\_\_\_\_

Date: \_\_\_\_\_

GOLD Only

Reviewed By: \_\_\_\_\_ Date: \_\_\_\_\_

Project Name: \_\_\_\_\_

1.) If no project proceeds account has been established, complete the following certification:

The aforesigned hereby certifies on behalf of the Grantee that no qualifying project proceeds have been received by the Grantee through the end of the fiscal year set forth above which would necessitate the creation of a project proceeds account.

By: \_\_\_\_\_  
Grantee's Authorized Representative Signature

2.) If a project proceeds account has been established, complete the following report:

Date Account Opened: \_\_\_\_\_ Account Number: \_\_\_\_\_

Name of Bank (including city): \_\_\_\_\_

Name of Account: \_\_\_\_\_

Project Proceeds Account Balance as of Prior Fiscal Year End: \$ \_\_\_\_\_

Gross Income Received from any Periodic Payment Stream:  
(this FY; Attach Description) \_\_\_\_\_

Gross Income Received from Any Lump Sum Payments:  
(this FY; Describe on Page Three) \_\_\_\_\_

Interest Income Earned through Fiscal Year End: \_\_\_\_\_

*Less:* Costs Incurred from receipt of Payment Stream:  
(Attached Supporting Documentation) < \_\_\_\_\_ >

*Less:* Expenditures for KCDO Approved Uses:  
(Attached Supporting Documentation) < \_\_\_\_\_ >

(Sum of the above items)  
Net Project Proceeds through Fiscal Year End: \$ \_\_\_\_\_

*Less:* Funds Previously Remitted to KCDO - this Fiscal Year  
(Attached Supporting Documentation) < \_\_\_\_\_ >

Residual funds to be remitted to KCDO/GOLD  
(Annually, payable to Kentucky State Treasurer) \_\_\_\_\_

Describe Any Lump Sum Payments from the Sale of Property

Attach a Legal Description of the Real Property Conveyed

Date of Closing: \_\_\_\_\_

Contract Sale Price: \$ \_\_\_\_\_

Less: Closing Costs: < \_\_\_\_\_ >  
(Attach Settlement Statement)

Less: Other Costs: < \_\_\_\_\_ >  
(Attach Supporting Documentation)

Net Proceeds to Grantee: \$ \_\_\_\_\_

Describe Any Other Lump Sum Payments

Description of Lump Sum Payment:

- ☐ Annual Lease Payment (of building(s) or Real Property for any purpose)  
☐ Proceeds of Mortgage Loan or any type of Encumbrance  
☐ Other

Describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date of Receipt: \_\_\_\_\_

Amount of Lump Sum Payment: \$ \_\_\_\_\_

Less: Costs (Attach Supporting Documentation): < \_\_\_\_\_ >

Net Proceeds to Grantee: \$ \_\_\_\_\_

All CEGG grantees must return total receipts and disbursements from their project proceeds account. In cases where property and/or facilities are leased, the agreement between the “grantee” and their respective “lessee” shall reflect language assuring the lease payments are paid directly to GOLD. KCDO will redeposit all recaptured funds into the respective account and those funds will become available for eligible activities within the CEGG program. Remit by checks made payable to the Kentucky State Treasurer and mail to the Governor’s Office for Local Development at 1024 Capital Center Drive, Suite 340, Frankfort, KY 40601.

Kentucky Community Development Office ▪ Governor’s Office for Local Development  
1024 Capital Center Drive, Suite 340 ▪ Frankfort, KY 40601  
Phone: 502-573-2382 ▪ Toll Free: 800-346-5606 ▪ Fax: 502-573-0175 ▪ [www.gold.ky.gov](http://www.gold.ky.gov)





Addendum G  
Revised August 1, 2005

**Quarterly Progress Report**  
Local Government Projects  
Kentucky Community Development Office  
Governor's Office for Local Development

Type of Award

Please check one of the following:

- ☐ Local Government Economic Development Fund (LGEDF)-Line-item      ☐ LGEDF-Grant
- ☐ Community Economic Growth Grant (CEGG)

Project

Project Title: \_\_\_\_\_

Type of Project (construction, revitalization, purchase of land/equipment, etc.): \_\_\_\_\_

\_\_\_\_\_

Project Allocation: \$ \_\_\_\_\_

Grantee

Legal Grantee: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Official's Name: \_\_\_\_\_

City/County/Other \_\_\_\_\_ Account Number \_\_\_\_\_

Was applicant a pass-thru agency to third-party recipient? (circle one)      yes      no

If yes, please list third-party recipient \_\_\_\_\_

Project Status

Please check the appropriate quarter of this progress report:

☐ July-Sep      ☐ Oct-Dec      ☐ Jan-March      ☐ April-June

Have all funds allocated for this project been received and expended? \_\_\_\_\_

If yes, please complete the *Project Completion Report* and send to the Governor's Office for Local Development, attention to the Kentucky Community Development Office.

Project Status (cont.)

If no, please explain any delays or problems with project. Make sure to provide an estimated date for completion (REQUIRED):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Financial Information

Is there a disbursement request attached? (circle one)      yes      no

Is the financial back-up document attached? (circle one)      yes      no

Total number of previous draws: \_\_\_\_\_ Total amount of disbursements received to date: \_\_\_\_\_

Please list all financial transactions within the quarter:

Payable	Amount	Purpose (equipment, supplies, etc.)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Financial Information


Certification of Recipient

Name and Title of Chief Executive Officer: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

Name and Title Third Party Recipient: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

For GOLD use only

FOR GOLD USE ONLY: This *Quarterly Progress Report* is hereby approved.

Name and Title of Commissioner: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_







Addendum H  
Revised August 1, 2005

**Completion Report**  
**Local Government Projects**  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

Type of Award

Please check one of the following:

- ☐ Local Government Economic Development Fund (LGEDF)-Line-item      ☐ LGEDF-Grant
- ☐ Community Economic Growth Grant (CEGG)

Project

Project Title: \_\_\_\_\_ Contract # \_\_\_\_\_

Type of Project (construction, revitalization, purchase of land/equipment, etc.): \_\_\_\_\_

Project Allocation: \$ \_\_\_\_\_

Total Actual Funds Received: \$ \_\_\_\_\_

Has final draw been made? Yes \_\_\_\_\_ No \_\_\_\_\_

Recipient/Grantee

Legal Recipient/Grantee: \_\_\_\_\_

Street Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_ Office Phone: \_\_\_\_\_

Official's Name: \_\_\_\_\_ County/City/Other \_\_\_\_\_

Close-Out Narrative

Provide a narrative of how the project was completed (REQUIRED):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Close-Out Narrative (cont.)

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Completion Details

Date of Project Completion: \_\_\_\_\_

Were any designated funds left over? (circle one)      yes      no

If yes, please list dollar amount: \$ \_\_\_\_\_

Explain why (REQUIRED): \_\_\_\_\_

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PLEASE NOTE: Any remaining funds must be returned to the Governor's Office for Local Development by check payable to the Kentucky State Treasurer.

Checklist

Make sure to complete all relevant forms and mail to the Kentucky Community Development Office at the Governor's Office for Local Development.

- ☐ Attachment A-Financial Report
- ☐ Attachment B-Real Property      ☐ Other financial reports, invoices and relevant documentation

Attachment A: Financial Report  
Local Government Projects Completion Report  
Kentucky Community Development Office  
Governor’s Office for Local Development

Please list all financial transactions of project (group like items together).  
Note: All attached forms are final *pending* completion and receipt of this financial report.

Financial Summary

Payable	Amount	Purpose (equipment, supplies, etc.)

Signature

Check below and sign to certify attachment of all final close out documents (e.g. inspections, certification of occupancy, copies of information, permits, invoices, receipts, etc.)

☐ All copies of final close out documents are attached.

Signed \_\_\_\_\_ Date \_\_\_\_\_

**Attachment B: Real Property Acquisition**  
**Local Government Projects Completion Report**  
**Kentucky Community Development Office**  
**Governor's Office for Local Development**

**Property Acquisition**

Did this project involve the acquisition of real property? (circle one)      yes      no

If yes, a copy of the deed transferring title must be attached to the back of this form if not already on file at the KCDO.

Please check to certify that a copy of the deed transferring title of any real property acquisition is attached:

☐ Copy of deed is attached.      ☐ Copy of property survey, meets and bounds, etc. is attached.

**Signatures**

It is hereby certified that all activities undertaken by the recipient with funds provided under the *Memorandum of Agreement (MOA)* have to the best of my knowledge been carried out in accordance with the *MOA* and *Project Scope of Work*, that all funds have been expended or returned to the Commonwealth of Kentucky and that every statement and amount set forth in this instrument is true and correct as of this date.

Name and Title of Chief Executive Officer: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

Name and Title of Third Party Recipient: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

**For GOLD use only**

**FOR GOLD USE ONLY:** This completion report is hereby approved. The *MOA* and all supporting documents required are received.

Name and Title of GOLD Administrator: \_\_\_\_\_

\_\_\_\_\_

Signed \_\_\_\_\_ Date \_\_\_\_\_

All records for this project are required to be maintained for three (3) years from the date of completion.

Kentucky Community Development Office • Governor's Office for Local Development  
 1024 Capital Center Drive, Suite 340 • Frankfort, KY 40601  
 Phone: 502-573-2382 • Toll Free: 800-346-5606 • Fax: 502-573-0175 • [www.gold.ky.gov](http://www.gold.ky.gov)

